

10-01-01

A

UTILITY PATENT APPLICATION TRANSMITTAL
(Larg Entity)*(Only for new nonprovisional applications under 37 CFR 1.53(b))*Docket No.
2001US307Total Pages in this Submission
25**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

Negative-Acting Aqueous Photoresist Composition

and invented by:

Ping-Hung Lu, Mark O. Neisser, Ralph R. Dammel, Hengpeng Wu

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Enclosed are:

Application Elements

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 18 pages and including the following:
 - a. ☒ Descriptive Title of the Invention
 - b. ☐ Cross References to Related Applications *(if applicable)*
 - c. ☐ Statement Regarding Federally-sponsored Research/Development *(if applicable)*
 - d. ☐ Reference to Microfiche Appendix *(if applicable)*
 - e. ☒ Background of the Invention
 - f. ☒ Brief Summary of the Invention
 - g. ☒ Brief Description of the Drawings *(if drawings filed)*
 - h. ☒ Detailed Description
 - i. ☒ Claim(s) as Classified Below
 - j. ☒ Abstract of the Disclosure

UTILITY PATENT APPLICATION TRANSMITTAL (Larg Entity)

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Application Elements (Continued)

3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)
- a. ☒ Formal Number of Sheets 3
- b. ☐ Informal Number of Sheets _____
4. ☒ Oath or Declaration
- a. ☒ Newly executed (original or copy) ☐ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☒ With Power of Attorney ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application,
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (usable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby
incorporated by reference therein.
6. ☐ Computer Program in Microfiche (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy (identical to computer copy)
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

Accompanying Application Parts

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing

☐ First Class ☒ Express Mail (Specify Label No.): EL034079384US

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Total Pages in this Submission
25

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. ☐ Additional Enclosures (please identify below):

17. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.

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(Large Entity)

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Fee Calculation and Transmittal

CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	14	- 20 =	0	x \$18.00	\$0.00
Indep. Claims	2	- 3 =	0	x \$80.00	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$710.00
OTHER FEE (specify purpose) _____					
TOTAL FILING FEE					\$710.00

- ☐ A check in the amount of _____ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 03-2060 as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of \$710.00 as filing fee.
 - ☒ Credit any overpayment.
 - ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
 - ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).


Signature

Sangya Jain, Reg. No. 38,504
Clariant Corporation
70 Meister Avenue
Somerville, NJ 08876

Dated: September 28, 2001

CC:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Lu et al

Docket No.

2001US307

Serial No.

NOT ASSIGNED

Filing Date

09/28/01

Examiner

NOT ASSIGNED

Group Art Unit

NOT ASSIGNED

Invention: **NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION**

I hereby certify that the following correspondence:

UTILITY PATENT APPLICATION TRANSMITTAL

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

September 28, 2001*(Date)*Vivian Austin*(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)*EL034079384US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

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Group Art Unit

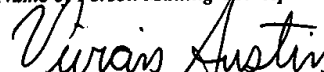
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Invention: **NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION**

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PATENT APPLICATION CONSISTING OF 18 PAGES*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

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NOT ASSIGNEDFiling Date
09/28/01Examiner
NOT ASSIGNEDGroup Art Unit
NOT ASSIGNEDInvention: **NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION**

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ASSIGNMENT

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

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Applicant(s): Lu et al

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Filing Date

09/28/01

Examiner

NOT ASSIGNED

Group Art Unit

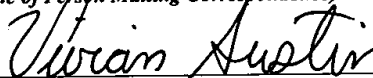
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Invention: **NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION**

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RECORDATION FORM COVER SHEET*(Identify type of correspondence)*

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September 28, 2001*(Date)*Vivian Austin*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EL034079384US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

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Applicant(s): Lu et al

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NOT ASSIGNED

Filing Date

09/28/01

Examiner

NOT ASSIGNED

Group Art Unit

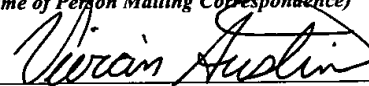
NOT ASSIGNED

Invention: **NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION**

I hereby certify that the following correspondence:

COMBINED DECLARATION AND POWER OF ATTORNEY*(Identify type of correspondence)*

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September 28, 2001*(Date)*Vivian Austin*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)*EL034079384US*("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

**TRANSMITTAL LETTER
(General - Patent Pending)**

Docket No.
2001US307

In Re Application Of: LU et al

Serial No.
NOT ASSIGNED

Filing Date
09/28/01

Examiner
NOT ASSIGNED

Group Art Unit
NOT ASSIGNED

Title: **NEGATIVE-ACTING AQUEOUS PHOTORESIST COMPOSITION**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is:

- 1) Utility Patent Application Transmittal
- 2) Combined Declaration/Power of Attorney
- 3) Assignment
- 4) Recordation Form Cover Sheet for Assignment
- 6) Certificate of Mailing by Express Mail for items 1 through 4

5) Postcard

in the above identified application.

- ☐ No additional fee is required.
- ☐ A check in the amount of _____ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
- ☐ Charge any additional fee required.


Signature

Dated: September 28, 2001

Sangya Jain, Reg. No. 38,504
Clariant Corporation
70 Meister Avenue
Somerville, NJ 08876
telephone (908) 429-3536

I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

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JC821 U.S. PTO
09/966958
09/28/01